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## NOTICE OF ALLOWANCE AND FEE(S) DUE

22801 7590 07/17/2008

LEE & HAYES PLLC  
421 W RIVERSIDE AVENUE SUITE 500  
SPOKANE, WA 99201

EXAMINER

SIDDIQI, MOHAMMAD A

ART UNIT

PAPER NUMBER

2154

DATE MAILED: 07/17/2008

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/875,798

06/05/2001

Ashvinkumar J. Sanghvi

MS1-0693US

5525

TITLE OF INVENTION: METHOD AND APPARATUS FOR EVENT HANDLING IN AN ENTERPRISE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$300	\$0	\$1740	10/17/2008

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.**

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.**

### HOW TO REPLY TO THIS NOTICE:

#### I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**

**PART B - FEE(S) TRANSMITTAL**

Complete and send this form, together with applicable fee(s), to: **Mail** Mail Stop ISSUE FEE  
Commissioner for Patents  
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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

22801 7590 07/17/2008

LEE & HAYES PLLC  
421 W RIVERSIDE AVENUE SUITE 500  
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**Certificate of Mailing or Transmission**

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/875,798	06/05/2001	Ashvinkumar J. Sanghvi	MS1-0693US	5525

TITLE OF INVENTION: METHOD AND APPARATUS FOR EVENT HANDLING IN AN ENTERPRISE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1440	\$300	\$0	\$1740	10/17/2008

EXAMINER	ART UNIT	CLASS-SUBCLASS
SIDDIQI, MOHAMMAD A	2154	709-223000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 \_\_\_\_\_

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 \_\_\_\_\_

3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee  
☐ Publication Fee (No small entity discount permitted)  
☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s); (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number \_\_\_\_\_ (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature \_\_\_\_\_

Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_

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This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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09/875,798	06/05/2001	Ashvinkumar J. Sanghvi	MS1-0693US	5525
22801	7590	07/17/2008	EXAMINER	
LEE & HAYES PLLC 421 W RIVERSIDE AVENUE SUITE 500 SPOKANE, WA 99201			SIDDIQI, MOHAMMAD A	
			ART UNIT	PAPER NUMBER
			2154	
DATE MAILED: 07/17/2008				

## Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 96 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 96 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

**Notice of Allowability**

Application No.

09/875,798

Examiner

MOHAMMAD A. SIDDIQI

Applicant(s)

ASHVINKUMAR J. SANGHVI

Art Unit

2154

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 06/10/2008.
2. ☒ The allowed claim(s) is/are 5,6,8,19-20, and 24-35 and 37-41 (please rearrange claims 1-22).
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some\* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- \* Certified copies not received: \_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO/SB/08),  
Paper No./Mail Date See Continuation Sheet
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_.
7. ☒ Examiner's Amendment/Comment
8. ☐ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_.

/nathan j flynn/ spe 2154

Continuation of Attachment(s) 3. Information Disclosure Statements (PTO/SB/08), Paper No./Mail Date: 04/23/2008,03/10/2008.

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### **DETAILED ACTION**

1. Claims 5, 6, 8, 19, 20, 24-35, and 37-41 are allowed.

### **EXAMINER'S AMENDMENT**

2. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it **MUST** be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Ningning Xu on 06/24/2008.

Please replace all the claims as attached:

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In the claims:

**1-4. (Cancelled).**

**5. (Previously Presented)** A method as recited in claim 27 wherein a particular device is assigned to multiple groups.

**6. (Previously Presented)** A method as recited in claim 25 wherein the one or more event handling policies identify the event data that are subscribed by the plurality of event consumers.

**7. (Cancelled).**

**8. (Previously Presented)** A method as recited in claim 25 wherein the method is implemented by a management module.

**9-18. (Cancelled).**

**19. (Currently amended)** One or more computer-readable storage media as recited in claim 31 wherein a particular device is assigned to multiple groups of devices.

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**20. (Currently amended)** One or more computer-readable storage media as recited in claim 30 wherein the one or more event-handling policies further identify the event data that are subscribed by the plurality of event consumers.

**21-23. (Cancelled).**

**24. (Previously Presented)** A method as recited in Claim 28, wherein the event log further comprises a version of an operating system, a location in a geographic region, a configuration of the system, presence of a particular hardware item, or capacity of a particular hardware item.

**25. (Currently amended)** A method of providing a centralized collection and event data handling mechanism in a Window Management Instrumentation (WMI) environment, the method comprising:

receiving all event data generated and represented in a common event data format by a plurality of event providers comprising at least a first and a second event provider in a network, the first and second event providers being different from each other, the plurality of event providers comprising components and applications of different types in the network;

determining, in accordance with one or more event handling policies, which of a plurality of event consumers handle the received event data, the plurality of event consumers comprising at least a first and a second event consumer, the first and second event consumers being different from each other, the plurality of event



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consumers comprising components and applications of different types in the network; and

sending the event data to the plurality of event consumers for direct handling by the plurality of event consumers without altering the common event data format in which the event data is represented;

wherein:

the WMI is an implementation of Web-Based Enterprise Management (WBEM) that provides uniform access to management information throughout an enterprise;

an extensible common information model (CIM) is utilized to encapsulate managed objects, the managed objects comprising each of the plurality of event providers and each of the plurality of event consumers in the WMI environment;

the CIM is defined by a Managed Object Format (MOF) language as an extensible data model for representing the managed objects in the WMI environment and the CIM is implemented by one or more WMI classes; and

the common event data format is implemented by the one or more WMI classes to encapsulate all event data from the managed objects.

**26. (Previously Presented)** A method as recited in claim 25, further comprising:

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creating the one or more event handling policies at least in part on the basis of a plurality of inquiries subscribing the event data from the plurality of event consumers.

**27. (Previously Presented)** A method as recited in claim 25, further

comprising:

assigning a plurality of devices to a group, the assigned devices each having a common state as other devices in the group; and

assigning one or more event handling policies to the group, wherein the assigned policies are associated with each of the devices in the group.

**28. (Previously Presented)** A method as recited in claim 25, further

comprising:

creating an event log, the event log comprising one or more event handling policy.

**29. (Previously Presented)** A method as recited in claim 26, wherein the

creating comprises merging a plurality of event handling policies to a single combined event handling policy.

**30. (Currently amended)** One or more computer-readable storage media

having stored thereon a computer program that, when executed by one or more processors, performs a process of providing a centralized collection and event

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data handling mechanism in a Window Management Instrumentation (WMI)

environment, the process comprising:

receiving all event data generated and represented in a common event data format by a plurality of event providers comprising at least a first and a second event provider in a network, the first and second event providers being different from each other, the plurality of event providers comprising components and applications of different types in the network;

determining, in accordance with one or more event handling policies, which of a plurality of event consumers handle the received event data, the plurality of event consumers comprising at least a first and a second event consumer, the first and second event consumers being different from each other, the plurality of event consumers comprising components and applications of different types in the network; and

sending the event data to the plurality of event consumers for direct handling by the plurality of event consumers without altering the common event data format in which the event data is represented;

wherein:

the WMI is an implementation of Web-Based Enterprise Management (WBEM) that provides uniform access to management information throughout an enterprise;

an extensible common information model (CIM) is utilized to encapsulate managed objects, the managed objects comprising each of the plurality of

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event providers and each of the plurality of event consumers in the WMI environment;

the CIM is defined by a Managed Object Format (MOF) language as an extensible data model for representing the managed objects in the WMI environment and the CIM is implemented by one or more WMI classes;

and

the common event data format is implemented by the one or more WMI classes to encapsulate all event data from the managed objects.

**31. (Currently amended)** One or more computer-readable storage media as recited in claim 30, further comprising the process of:

assigning a plurality of devices to a group, the assigned devices each having a common state as other devices in the group; and

assigning one or more event handling policies to the group, wherein the assigned policies are associated with each of the devices in the group.

**32. (Currently amended)** One or more computer-readable storage media as recited in claim 30, further comprising the process of:

creating the one or more event handling policies at least in part on the basis of a plurality of inquiries subscribing the event data from the plurality of event consumers.

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**33. (Currently amended)** One or more computer-readable storage media as recited in claim 30, further comprising the process of:  
creating an event log associated with the group, the event log comprising one or more event handling policies.

**34. (Currently amended)** A system of collecting and handling event data in a centralized mechanism in a Windows Management Instrumentation (WMI) environment, the system comprising:  
one or more processors;  
memory communicated with the one or more processors; and  
one or more data stores having stored thereon a management module, when executed by the one or more processors, performing a process comprising:  
receiving all event data generated and represented in a common event data format by a plurality of event providers comprising at least a first and a second event provider in a network, the first and second event providers being different from each other, the plurality of event providers comprising components and applications of different types in the network;  
determining a meta-policy from a plurality of WMI policies as to which one or more event consumers handle the received event data, the determining comprising:  
associating each of the plurality of WMI policies with at least one of the one or more event consumers, wherein each of the plurality of

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WMI policies includes information known to the one of the one or more event consumers; and

creating a meta-policy to control applying the plurality of WMI policies to the one of the one or more event consumers, wherein the meta-policy is configured to control the applying by preventing the applying while checking the plurality of WMI policies for conflicts; and

sending the event data to the one or more event consumers for direct handling by the plurality of event consumers without altering the common event data format in which the event data is represented based on the meta-policy;

wherein:

the WMI is an implementation of Web-Based Enterprise Management (WBEM) that provides uniform access to management information throughout an enterprise;

an extensible common information model (CIM) is utilized to encapsulate managed objects, the managed objects comprising each of the plurality of event providers and the one or more event consumers in the WMI environment;

the CIM is defined by a Managed Object Format (MOF) language as an extensible data model for representing the managed objects in the WMI environment and the CIM is implemented by one or more WMI classes; and

the common event data format is implemented by the one or more WMI classes to encapsulate all event data from the managed objects.

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**35. (Previously Presented)** A system as recited in claim 34, further comprising a plurality of devices, the devices being coupled to the management module.

**36. (Cancelled).**

**37. (Previously Presented)** A system as recited in claim 35, wherein the plurality of devices are assigned to a group, and the meta-policy is assigned to the group.

**38. (Previously Presented)** A system as recited in claim 37, wherein the meta-policy assigned to the group is associated with each of the plurality of devices in the group.

**39. (Previously Presented)** A system as reciting to claim 34, wherein the meta-policy is created by merging the plurality of WMI policies.

**40. (Previously Presented)** A system as recited in claim 34, further comprising: a database configured to store the event data, the database being coupled to the management module.

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**41. (Previously Presented)** A system as recited in claim 34, further comprising: an event log configured to administrate the one or more event handling policies, the event log being coupled to the management module.



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3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to MOHAMMAD A. SIDDIQI whose telephone number is (571)272-3976. The examiner can normally be reached on Monday - Thursday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nathan J. Flynn can be reached on (571) 272-1915. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MAS

/Nathan J. Flynn/  
Supervisory Patent Examiner, Art Unit 2154